


10/15/01
JC962 U.S. PTO

10-18-01

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PTO/SB/05 (08-00)
Approved for use through 10/31/2002 OMB 0651-0032
U S Patent and Trademark Office, U S. DEPARTMENT OF COMMERCE
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. YU 132
First Inventor Peter M. Glazer
Title METHODS OF TARGETED MUTAGENESIS USING
TRIPLE-HELIX FORMING OLIGONUCLEOTIDES
Express Mail Label No. EL 717 749 145 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 46]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
5. Oath or Declaration [Total Pages 2]
 - a. ☒ unexecuted
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b)
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☒ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☒ paper
 - c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Other: Check for \$370.00

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No 09, 411,291

Prior application information

Examiner Myers, C.

Group / Art Unit 1655

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

or ☒ Correspondence address below

Name	Patrea L. Pabst Holland & Knight LLP				
Address	2000 One Atlantic Center				
	1201 West Peachtree Street				
City	Atlanta	State	GA	Zip Code	30309-3400
Country	USA	Telephone	404-817-8473	Fax	404-817-8588

Name (Print/Type)	Rivka D. Monheit	Registration No. (Attorney/Agent)	48,731
Signature	Rivka D. Monheit	Date	10/15/01

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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**FEE TRANSMITTAL
for FY 2001**

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$ 370.00)**Complete if Known**

Application Number	
Filing Date	October 15, 2001
First Named Inventor	Peter M. Glazer
Examiner Name	
Group Art Unit	
Attorney Docket No.	YU 132

METHOD OF PAYMENT (check one)

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number	50-1868
Deposit Account Name	Holland & Knight LLP

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	370.00
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$ 370.00)**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
25	-20 = 5	9.00	45.00
Independent Claims	3 -3 = 0		
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 45.00)**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**SUBMITTED BY**

Name (Print/Type)	Rivka D. Monheit	Registration No (Attorney/Agent)	48,731	Telephone	(404) 817-8514
Signature	<i>Rivka D. Monheit</i>	Date	10/15/01		

Complete (if applicable)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Peter M. Glazer
Serial No.:

Express Mail Label
No.: EL 717 749 145 US

Filed: October 15, 2001

Date of Deposit: October 15, 2001

For: TRIPLE-HELIX FORMING OLIGONUCLEOTIDES FOR TARGETED
MUTAGENESIS

Box Patent Application
Commissioner of Patents and Trademarks
Washington, D.C. 20231

**EXPRESS MAIL TRANSMITTAL LETTER
FOR PATENT APPLICATION AND CERTIFICATE OF MAILING**

Sir:

Pursuant to 35 U.S.C. § 21(a) as amended by Public Law 97-247 and 37 C.F.R. § 1.10, applicant encloses for filing the attached patent application entitled "*Triple-Helix Forming Oligonucleotides for Targeted Mutagenesis*". This application is a continuation-in-part of pending prior application U.S. Serial No. 09/411,291 filed October 4, 1999, entitled "*Methods of Targeted Mutagenesis Using Triple-Helix Forming Oligonucleotides*" (*As Amended*), by Peter M. Glazer, which is a divisional of U.S. Serial No. 08/476,712, filed June 7, 1995, entitled "*Triple-Helix Forming Oligonucleotides for Targeted Mutagenesis*", by Peter M. Glazer. The application includes 1 page of abstract, 41 pages of specification, 4 pages of claims, 4 pages of Sequence Listing, 2 sheets of formal drawings, and an unexecuted Declaration for Patent Application. An executed Declaration for Patent Application, Assignment of rights in the application from Peter M. Glazer to Yale University, Power of Attorney or Authorization of Agent, and a Statement Under 37 C.F.R. § 3.73(b) will be submitted shortly.

Title: "Triple-Helix Forming Oligonucleotides
for Targeted Mutagenesis"
Filed: October 15, 2001
Express Mail Transmittal Letter for
Patent Application and Certificate of Mailing
Express Mail Label No.: EL 717 749 145 US
Date of Deposit: October 15, 2001

This application contains nucleic acid and/or protein sequences as defined in 37 C.F.R. §§ 1.821-1.825. Pursuant to 37 C.F.R. §§ 1.821-1.825, applicant encloses a 3½" diskette containing a computer-readable form of the Sequence Listing for the above-identified application. A paper copy of the Sequence Listing is incorporated into the application.

I declare that the material on the diskette is identical to the paper copy of the Sequence Listing present in the above-identified application, and that all statements made on information and belief are believed to be true and further that these statements were made with the knowledge that willful false statements may jeopardize the validity of the application or any patent issuing thereon.

A check in the amount of \$370.00 to cover the basic filing fee for a small entity is enclosed. The Commissioner is hereby authorized to charge Deposit Order Account No. 50-1868 in the amount of \$45.00 for the fee for 5 claims in excess of 20 claims. It is believed that this is the proper filing fee for a small entity as the application contains 3 independent claims, and a total of 25 claims.

This application is entitled to claim small entity status under 37 C.F.R. § 1.27.

This application is being filed on October 15, 2001 by mailing the application to Box Patent Application, Commissioner of Patents and Trademarks, Washington, D.C. 20231 via the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10. The Express Mail label number appears in the heading of this paper that is attached to the application papers pursuant to 37 C.F.R. § 1.10(b).


Title: "Triple-Helix Forming Oligonucleotides
for Targeted Mutagenesis"
Filed: October 15, 2001
Express Mail Transmittal Letter for
Patent Application and Certificate of Mailing
Express Mail Label No.: EL 717 749 145 US
Date of Deposit: October 15, 2001

The Commissioner is hereby authorized to charge any additional fees that may be required, or credit any overpayment in connection with this application, to Deposit Order Account No. 50-1868. To facilitate this process, applicant has enclosed a duplicate of this letter.

All correspondence concerning this application should be mailed to:

Patrea L. Pabst, Esq.
HOLLAND & KNIGHT LLP
Suite 2000, One Atlantic Center
1201 West Peachtree Street, N.E.
Atlanta, Georgia 30309-3400

Respectfully submitted,



Rivka D. Monheit
Reg. No. 48,731

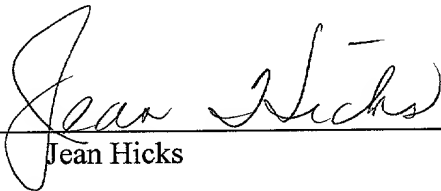
Date: October 15, 2001

HOLLAND & KNIGHT LLP
Suite 2000, One Atlantic Center
1201 West Peachtree Street, N.E.
Atlanta, Georgia 30309-3400
(404) 817-8514 (Telephone)
(404) 817-8588 (Fax)

Title: "Triple-Helix Forming Oligonucleotides
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Patent Application and Certificate of Mailing
Express Mail Label No.: EL 717 749 145 US
Date of Deposit: October 15, 2001

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10

I hereby certify that this Express Mail Transmittal Letter for Patent Application and any documents referred to as attached therein are being deposited with the United States Postal Service on this date, October 15, 2001, in an envelope as "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10, Express Mail Label No. EL 717 749 145 US, addressed to Box Patent Application, Commissioner of Patents and Trademarks, Washington, D.C. 20231.



Jean Hicks

Date: October 15, 2001

ATL1 #487849 v1